

Arizona Department of Transportation

Engineering Consultants Section 205 S. 17th Ave. Phoenix, Arizona 85007.3213 Phone 602,712,7525 Fax 602,712,7424

Jane Dee Hull Governor

January 12, 2001

Victor Mendez **Deputy Director**

Mary E Peters Director

INFORMATION BULLETIN NO. 01-01

TO:

ADOT Staff

Consultants

FROM:

Engineering Consultants Section

SUBJECT: Consultant Evaluation Program

The ADOT Consultant Evaluation Program is an important tool for measuring the performance of consultants. It provides valuable information to the consultant and is used in the consultant selection process. Recently the program was revised to include and define restrictions that may be imposed upon consultants and subconsultants that receive unsatisfactory performance ratings (a rating of 1 or 2).

Please find the updated copy of the Consultant Evaluation Program. Information Bulletin 01-01 replaces Information Bulletin 99-01.

If you have any questions regarding this bulletin, please call Engineering Consultants Section at (602) 712-7525.

ENGINEERING CONSULTANTS SECTION

CONSULTANT EVALUATION PROGRAM FOR DESIGN PROJECTS

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The Consultant Evaluation Program is a vehicle to open lines of communication between the Project Manager, the Consultant, any Subconsultants and other ADOT staff.

A positive approach to the Consultant Evaluation Program assures that:

- 1. project schedule, cost, and quality of design and construction are attainable, and
- 2. potential problems that may impact other projects or the 5 Year Construction Program are identified and resolved in a timely manner.

The Consultant and their subconsultants are evaluated at major milestones during the life of the contract. These evaluations provide indications of how the project is progressing and what steps have been taken to assure effective and efficient practices during construction. Engineering Consultants Section is responsible for the Evaluation Program. They will review evaluations to determine if any trends, particularly negative ones, are developing.

The Consultant Evaluation Program may include visits to the office of the Consultant by ECS Management. At such visits, questions relating to the contract evaluation are addressed and problems are identified.

The following is provided for your use in the evaluation of a design consultant:

- 1. Phasing and Evaluation Schedule. This is a description of the project milestones for the particular type of project (design, construction administration, etc.) and a recommended schedule of filing dates.
- 2. Sample Transmittal Letter.
- 3. Copies of the evaluation forms were developed by the ADOT Evaluation Committee.

PHASING AND EVALUATION SCHEDULE FOR DESIGN PROJECTS

On consultant design contracts, the project design milestones are after the Stage II (30%), Stage III (60%), and Final (100%) design submittals. Contract Constructibility will also be evaluated by District personnel. Evaluations at these milestones provide indications of how the design is progressing and what steps have been taken to assure effective and efficient practices during construction. The evaluations should be completed after all major issues of a design submittal have been resolved. When this schedule is followed the evaluation document is an extension of the design submittal review process.

It is recommended that the letter of transmittal to the design consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

5 DAYS after all major design submittal Stage II Design Submittal (30%)

review issues have been resolved

5 DAYS after all major design submittal Stage III Design Submittal (60%)

review issues have been resolved

5 DAYS after all major design submittal Final Design Submittal (100%)

review issues have been resolved

Contract Constructibility (Partnering Close-out form will be and project has been accepted.

used)

5 DAYS after construction is complete

A design submittal evaluation should not be more than six weeks after the Notes: 1. design submittal date.

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

<u>5"</u> rating is for outstanding performance which exceeds the Scope of Services. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.

"3" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.

"1" rating is for unsatisfactory performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

Additional comments are required in the space provided for the ratings. NOTE:

SAMPLE TRANSMITTAL LETTER PROJECT MANAGER TO CONSULTANT

Mr. (Consultant Name) (Consultant Title) (Firm Name) (Address1) (Address2)

RE: CONSULTANT PERFORMANCE EVALUATION, (Contract No. XX-XX)

(Project Location) (Project Name)

Mr. (Consultant Name):

Enclosed is a copy of the evaluation which (ADOT Section/Group) has made of your firm's performance during the (Appropriate Phase) of our contract. Subsequent evaluations will be at other appropriate phases of the contract, culminating in a final evaluation at the project completion.

This evaluation was prepared by (Responsible Party Name & Title) who was your direct contact liaison, along with appropriate staff as required.

The purpose of these periodic evaluations is to point out in a timely manner what (ADOT Section/Group) considers as either strong or weak points of your performance on the contract. The goal is to achieve design plans and contract documents which meet ADOT's standards and procedures, which will ultimately lead to the successful construction of the project.

While informal meetings and discussions have occurred we would be pleased to discuss this with you further, if you so desire. A copy of the evaluation has been sent to the Contract Manager, ADOT Engineering Consultants Section, for information. Any written responses you may desire to submit concerning this evaluation should be directed to us, with a copy to the Contract Manager.

- Law

c: Contract Manager (2 copies)

Enclosure

ARIZONA DEPARTMENT OF TRANSPORTATION INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

STAGE II DESIGN PHASE

Contra	act No.		TRACS	S No.:								
			Fed. /	Aid ID No.:	***************************************							
Projec	ct name	e:										
Projec	ct desc	riptior	n:									
Consi	ultant fi	irm:										
Consi	ultant F	Projec	t Manager:									
ADOT	Γ Proje	ct Ma	nager									
Milest	tone da	ates fo	or Stage II Design Phase:									
Appro	oved su	ubmitt	al date:									
Actua	al subm	nittal d	ate:									
	ments o		omittal ultant:									
Date	of this	evalu	ation:	······-								
l.	ENG	INEE	RING DESIGN PERFORMA	NCE								
	Α.	Pro	eject Management			PERFORMANCE RATING						
		1	Communications				5	4	3	2	1	
		2.	Responsiveness				5	4	3	2	1	
		3.	Schedule Adherence				5	4	3	2	1	
		4.	Cooperation				5	4	3	2	1	
		5.	Attitude				5	4	3	2	1	
			ditional mments:	wan .							***************************************	
										······································		

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory
STAGE II DESIGN PHASE, Page 1 of 3

Re	quired Submittals/Activities	PEF	FORM	ΛAΝ	ICE	RA [*]	IING
1.	Environmental report		5	4	3	2	1
2. 3.	Prelim. drainage report Bridge structure selection report		5 5	4	3	2	1
4. 5. 6. 7. 8. 9.	Traffic analysis and report Geotechnical report Stage II materials design memorandum Survey and mapping Stage II cost estimate Permit application(s) Public meeting(s)		5 5 5 5 5 5 5 5	4 4 4	3 3 3 3 3 3	2 2	1 1 1 1 1
Ad	ditional mments:						
Sta	age II Design					: PA	TING
Sta (30	age II Design O % Complete)		RFOR	1AM	VCE		
Sta (30	age II Design O % Complete) Horizontal & Vertical Alignment		RFOR 5	MAN 4	3 3	2	1
Sta (30	age II Design) % Complete) Horizontal & Vertical Alignment Stage II R/W requirements		RFOR 5 5	MAN 4 4	3 3	2	4
Sta (30 1. 2. 3.	age II Design) % Complete) Horizontal & Vertical Alignment Stage II R/W requirements Utility Identifications		RFOR 5 5 5	MAN 4 4	3 3 3	2 2 2	1
Sta (30 1. 2. 3. 4.	age II Design D % Complete) Horizontal & Vertical Alignment Stage II R/W requirements Utility Identifications Intersection and interchange layouts		3FOR 5 5 5 5	4 4 4 4	3 3 3	2 2 2 2	1 1 1
Sta (30 1. 2. 3. 4. 5.	age II Design O % Complete) Horizontal & Vertical Alignment Stage II R/W requirements Utility Identifications Intersection and interchange layouts Typical roadway sections		3FOR 5 5 5 5	4 4 4 4	3 3 3 3	2 2 2	1. 1. 1. 1.
Sta (30 1. 2. 3. 4. 5. 6.	age II Design D % Complete) Horizontal & Vertical Alignment Stage II R/W requirements Utility Identifications Intersection and interchange layouts	PEF	3FOR 5 5 5 5 5	MAN 4 4 4 4 4	3 3 3 3 3	2 2 2 2	1 1 1

Subconsultant firm(s) & Area of Responsibility: PERFORMANCE RATING					
1.	. 5	4	3	2 1	
2.	. 5	4	3	2 1	
3	. 5	4	3	2 1	
4	. 5	4	3	2 1	
Comments:		·			-

II. OVERALL RATING OF PRIME CONSULTANT FOR THE S	STAGE II PHASE				
II. OVERVIEW INVITED OF THE CO.					
5 4 3 2	1				
Overall comments:					_
EVALUATION COMPLETION					
Prepared By:					
		0	n		
ADOT Project Manager				Date	
EVALUATION APPROVAL					
ADOT Group Manager Da	te				
Copies of this evaluation were submitted to Contract M	lanager, ADOT				
Engineering Consultants Section on	······································				

STAGE II DESIGN PHASE, Page 3 of 3

ARIZONA DEPARTMENT OF TRANSPORTATION INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

STAGE III DESIGN PHASE

Contr	act No.:	TRA	.CS No.:			~~~···································		-
		Fed	Aid ID No.:					 -
Proje	ct name:				···			
Proje	ct descriptior	1:						
Cons	ultant firm: _							
Cons	ultant Projec	t Manager:						
ADO ⁻	T Project Ma	nager:						
Miles	tone dates fo Approved s	or Stage III Design Phase: submittal date:						
	Actual sub	mittal date:						
		on submittal consultant:						
	Date of this	s evaluation:						
	ENGINEE	RING DESIGN PERFORMANCE						
	A. Pro	oject Management		PERFOR	MAN	ICE	RA	TING
	1.	Communications		5	4	3	2	1
	2.	Responsiveness		5	4	3	2	1
	3.	Incorporation of Previous Review Comme	ents	5	4	3	2	1
	4.	Schedule Adherence		5	4	3	2	1
	5.	Cooperation		5	4	3	2	1
	6.	Attitude		5	4	3	2	1
	Ad co	ditional mments:						

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory STAGE III DESIGN PHASE, Page 1 of 4

В.	Red	quired Submittals/Activities	PERFOR	MAI	NCE	RA	TING
	1.	Prelim. permit applications	5	4	3	2	1
	2.	R/W requirements	5	4	3	2	1
	3.	Environmental reports	5	4	3	2	1
	4.	Design notes & computations	5	4	3	2	1
	5.	Progress meetings/minutes	5	4	3	2	1
	6.	Draft special provisions	5	4	3	2	1
	7.	Prelim. quantity take-off	5	4	3	2	1
	8.	Stage III cost estimate	5	4	3	2	1
	9. 10.	Value engineering Final drainage report	5 5	4 4	3 3	2 2	1
	11.	Field review	5	4	3	2	1
	Add	ditional comments:					
C.		ge III Design Submittal % Complete)	PERFOR	MAN	NCE	RA	TING
	1	Incorporation of previous review comments	5	4	3	2	1
	2.	Final materials design memorandum	5	4	3	2	1
	3.	Typical roadway sections	5	4	3	2	1
	4.	Plan and profile sheets	5	4	3	2	4
	5.	Drainage plans	5	4	3	2	1

STAGE III DESIGN PHASE, Page 2 of 4

C. Stage	e III Desig	gn Submittal (Continued)						
	6. 7.	Environmental permit applications Intersection and interchange layouts		5 5	4 4	3 3	2 2	1
	8.	Major structure plans		5	4	3	2	1
	9.	Stage III traffic control plans		5	4	3	2	1
	10.	Landscape plans		5	4	3	2	1
	11.	Traffic signing and signal plans		5	4	3	2	1
	12.	Pavement marking plans		5	4	3	2	1
	13.	Lighting plans		5	4	3	2	1
	14.	Cross sections		5	4	3	2	1
	15.	NPDES (Erosion Control Plan)		5	4	3	2	1
	16.	Utility relocation plans		5	4	3	2	1
	17.	Constructability		5	4	3	2	1
	Ad	ditional comments:						
Subcons	sultant firr	m(s) & Area of Responsibility:	PERFO	RMAI	NCE	RA [*]	TING	3
1			5	4 3	2	1		
2			5	4 3	2	1		
3			5	4 3	2	1		
4			5	4 3	2	1		
Comme	nts:							

STAGE III DESIGN PHASE, Page 3 of 4

II. <u>OVER</u>	ALL RATING OF PR	ME CONSU	JLTAN	<u>r for</u>	THE S	STAGE III	PHAS	E		
		5	4	3	2	1				
	Overall comments:_									
	WARANI -									
		E	VALUA	TION	COMF	PLETION				
Prepared By:										
ADOT Project	et Manager	of .						on	Date	
			EVALU	<u>IATIO</u>	N APP	ROVAL				
ADOT Group	Manager	_	On _	1	Date	·····				
Copie: Engine	s of this evaluation we eering Consultants Se	ere submitte ection on			Manag	ger, ADOT	Γ			
			Date	!						

STAGE III DESIGN PHASE, Page 4 of 4

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

ARIZONA DEPARTMENT OF TRANSPORTATION INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

FINAL DESIGN PHASE

Contract No.:			TRACS No.:	***************************************
			Fed. Aid ID No.:	
Proje	ct nan	me:		
Proje	ct des	scription:		
Cons	ultant	firm:		
Cons	ultant	Project Manager:		
ADO	T Proj	iect Manager:		
Miles	Аррі	dates for Stage III Design Phase: roved submittal date:		
	Com	ual submittal date: nments on submittal rned to consultant:		
	Date	e of this evaluation:		
A.	ADN	MINISTRATIVE PERFORMANCE	COMMENTS	
	1.	Assigned project team		
	2.	Contract costs		
	3.	Progress reports		
	4	Changes in subconsultants or key project staff		
	5.	Partnering		

FINAL DESIGN PHASE, Page 1 of 4

6.	TQM					
7.	Coordination between disciplines, phases, and outside par	ties				
	Additional comments:		~			
PR	OJECT MANAGEMENT	PERFORM	IAN	CE	RAT	IN
1.	Communications	5	4	3	2	1
2.	Responsiveness	5	4	3	2	1
3.	Incorporation of Previous Review Comments	5	4	3	2	1
4.	Schedule Adherence	5	4	3	2	1
5.	Cooperation	5	4	3	2	1
6.	Attitude	5	4	3	2	1
Ad	ditional Comments:					
		· · · · · · · · · · · · · · · · · · ·		·		

FINAL DESIGN PHASE, Page 2 of 4

) .	ENG	INEERING DESIGN PERFORMANCE							
	a.	Incorporation of previous review comments			5	4	3	2	1
	b.	Complete set of sealed contract document originals			5	4	3	2	1
	C.	Complete reproducible set of special provisions/bidding schedule			5	4	3	2	1
	d.	Complete set of R/W plans			5	4	3	2	1
	е.	Final and complete quantity summaries/cost estimate			5	4	3	2	1
	f.	Final design calculations			5	4	3	2	1
	g.	Final survey computations and field books			5	4	3	2	1
	h.	Environmental permits support documentation		5	,	4	3	2	1
		Additional comments:							
Subc	onsult	ant firm(s) & Area of Responsibility:	PERFOR	RMA	NC	ER	ATI	NG	
1			5	4 3	3	2	1		
2			5	4 :	3	2	1		
3			5	4 :	3	2	1		
4			5	4 :	3	2	1		
Comi	ments								

FINAL DESIGN PHASE, Page 3 of 4

5 4 3 2 1
Overall comments:
EVALUATION COMPLETION Prepared By:
ADOT Project Manager of on Date
EVALUATION APPROVAL
ADOT Group Manager Date
Copies of this evaluation were submitted to Contract Manager, ADOT Engineering Consultants Section on Date
A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

OVERALL RATING OF PRIME CONSULTANT FOR THE FINAL PHASE

D.

FINAL DESIGN PHASE, Page 4 of 4

ARIZONA DEPARTMENT OF TRANSPORTATION

OFFICE MEMO

(DATE)	

TO:

ADOT PROJECT MANAGER

FROM:

Contract Manager

Engineering Consultants Section

RE:

CONSULTANT EVALUATION PROGRAM

Please find attached information in regards to the evaluation of consultants for contracts administered through Engineering Consultants Section, as well as, copies of the <u>MANDATORY CONSULTANT EVALUATIONS</u> which you are to complete as follows:

- 1. Complete the Consultant Evaluation Forms periodically as required by the project for the prime consultant and any subconsultants involved in that time frame. It is recommended that a miscellaneous project be evaluated every six months. Miscellaneous projects are on-call, supplemental services, location studies, research, etc.
- 2. Make three copies of the evaluation. Transmit the original to the Consultant. The transmittal letter should be on agency letterhead, filling in the blanks as appropriate (see sample).
- 3. Send one copy each to the Contract Manager and the Contract Specialist in Engineering Consultants Section and keep one copy for your own contract/project files.

If you have any questions or wish to set up an appointment to discuss this, please contact me at (602) 255-7525. Thank you for your cooperation and assistance.

Attachment

ENGINEERING CONSULTANTS SECTION

CONSULTANT EVALUATION PROGRAM FOR MISCELLANEOUS PROJECTS

(On-Call, Environmental Services, Construction Administration) (Supplemental Services, Location Studies, Research, etc.)

The Consultant Evaluation Program is a vehicle to open lines of communication between the Project Manager, the Consultant, any Subconsultants and other ADOT staff.

A positive approach to the Consultant Evaluation Program assures that:

- 1. project schedule, cost, and quality of design and construction are attainable, and
- 2. potential problems that may impact other projects or the 5 Year Construction Program are identified and resolved in a timely manner.

The Consultant and their subconsultants are evaluated at major milestones during the life of the contract. These evaluations provide indications of how the project is progressing and what steps have been taken to assure effective and efficient practices. Engineering Consultants Section (ECS) is responsible for the Evaluation Program. ECS will review evaluations to determine if any trends, particularly negative ones, are developing.

The Consultant Evaluation Program may include visits to the office of the Consultant by ECS Management. At such visits, questions relating to the contract evaluation are addressed and problems are identified.

The following is provided for your use in the evaluation of a miscellaneous project:

- 1. Phasing and Evaluation Schedule. This is a description of the project milestones for the particular type of project (on-call, supplemental services, research, construction administration, etc.) and a recommended schedule of filing dates.
- Sample Transmittal Letter.
- Copies of the evaluation forms were developed by the ADOT Evaluation Committee.
- Copies of restriction guidelines.

PHASING AND EVALUATION SCHEDULE FOR MISCELLANEOUS PROJECTS

For on-call, supplemental services, location studies, research, etc., the period of evaluation of the consultant is left to the discretion of the Project Manager. Where projects are numerous and of short duration, the Project Manager may choose to evaluate the consultant every six months; where the consultant will be working on a small number of longer duration projects, the Project Manager may choose to evaluate the consultant after each project is completed.

It is recommended that the consultant is evaluated every six months and that the letter of transmittal to the consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

Periodic Evaluation * Left to the discretion of the Project Manager.

Contract Renewal * Must be submitted with the Project Manager's request to extend the

contract.

Contract Completion * After contract is complete.

* Note: Indicate on the form provided the type of evaluation.

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

- "5" rating is for outstanding performance which exceeds the Scope of Services. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.
- "3" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.
- "1" rating is for unsatisfactory performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

NOTE: Additional comments are required in the space provided for the ratings.

SAMPLE TRANSMITTAL LETTER PROJECT MANAGER TO CONSULTANT (FOR MISCELLANEOUS PROJECTS)

Mr. (Consultant Name) (Consultant Title) (Firm Name) (Address1) (Address2)

RE:CONSULTANT PERFORMANCE EVALUATION, (Contract No. XX-XX) (Project Location) (Project Name)

Mr. (Consultant Name):

Enclosed is a copy of the evaluation which (ADOT Section/Group) has made of your firm's performance during the (Appropriate Phase) of our contract. Subsequent evaluations will be at other appropriate phases of the contract, culminating in a final evaluation at the contract completion.

This evaluation was prepared by (Responsible Party Name & Title) who was your direct contact liaison, along with appropriate staff as required.

The purpose of these periodic evaluations is to point out in a timely manner what (ADOT Section/Group) considers as either strong or weak points of your performance on the contract. The goal is to achieve design plans and/or contract documents which meet ADOT's standards and procedures, which will ultimately lead to the successful construction of the project.

While informal meetings and discussions have occurred we would be pleased to discuss this with you further, if you so desire. A copy of the evaluation has been sent to the Contract Manager, ADOT Engineering Consultants Section, for information. Any written responses you may desire to submit concerning this evaluation should be directed to us, with a copy to the Contract Manager.

Sincerely,
(Project Manager's Name) (Project Manager's Title)

c: Contract Manager (2 copies)

Enclosure

ARIZONA DEPARTMENT OF TRANSPORTATION INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF CONSULTANT

Contr	act No.:										
Туре	of Evaluation:	Six Months		Contract Final		Other:					
Evalu	ation Period:	Start Date				·····					
		End Date									
		Date Evaluated				·····					
Servi	ces Provided:				4100004400000				***************************************		
·											
		<u> </u>									
Cons	ultant firm:										
Cons	ultant office lo	cation:	······································								
Cons	ultant Project	Manager:			,						
ADO	T Project Man	ager:					-				
Α.	PROJECT	MANAGEMENT				PERFO	RM	AN	CE	RAT	ING
	1. Comi	munications					5	4	3	2	1
	2. Resp	onsiveness					5	4	3	2	1
	3. Incor	poration of Previous Revie	w Com	iments			5	4	3	2	1
	4. Sche	dule Adherence					5	4	3	2	1
	A ratin	g of "5" = Outstanding, A	rating o	f "3" = Average, A	\ rating of	"1" = Unsatis	fac	ory			

CONSULTANT, Page 1 of 3

PROJECT MANAGEMENT (Continued)					
5. Cooperation		5	4	3	2
6. Attitude		5	4	3	2
Additional Comments:					
TASK ACTIVITIES:					
1. Submittals:	 				
2. Areas of Strength:			~~~	***********	
3. Areas for Improvement:					
		**********	***************************************		

consultant firm(s) & Area of Resp	onsibility:					F	ERFO	ORM	1AN	CE	RATING
							5	4	3	2	1
							5	4	3	2	1
							5	4	3	2	4
							5	4	3	2	1
ments:			····								
OVERALL RATING OF PRIME	CONSUL	<u>-TANT</u>	OF 1	THIS E	<u>VALUA</u>	TION	:				
	5	4	3	2	1						
Overall comments:					·						
	<u>EVAL</u>	_UATI	ON C	<u>OMPL</u>	<u>ETION</u>						
Prepared By:											
	c	of							on		
ADOT Project Manager											Date
	EVA	ALUAT	ΓΙΟΝ Α	APPR(<u>DVAL</u>						
Approved by:											
		on _									
				Date							
ADOT Group Manager											
ADOT Group Manager Copies of this evaluation were Engineering Consultants Secti					ger, AC	ОТ					

CONSULTANT, Page 3 of 3

CONSULTANT EVALUATION RESTRICTION GUIDELINES

PURPOSE

The purpose of this policy is to define the restrictions that may be imposed upon consultants that receive an overall unsatisfactory performance rating.

PROCEDURE

Before any restrictions are placed on the Consultant for an unsatisfactory overall performance rating, the following will apply:

- 1. The ADOT Project Manager will submit the consultant evaluation to the appropriate Group Manager.
- 2. The ADOT Project Manager and Group Manager will meet with the Consultant regarding their performance rating. After a discussion with the Consultant and if the project schedule allows, ample time may be given to implement a plan of action to correct the deficiency. The final performance evaluation will be made by the Group Manager.
- 3. If the overall unsatisfactory performance rating is warranted, the Group Manager will forward the evaluation to the Consultant and a copy to Engineering Consultants Section for processing.
- 4. Engineering Consultants Section will forward a copy to the appropriate Deputy State Engineer and coordinate the process.
- 5. The Deputy State Engineer will meet with the Principal of the firm prior to making a recommendation to the State Engineer for imposition of any restrictions. They will determine whether the issues involve the subconsultant and if they should become involved in the process.
- 6. The Deputy State Engineer's recommendation for any restrictions will be forwarded to the State Engineer for final approval.
- 7. The State Engineer, Deputy State Engineer, Group Manager and Contract Administrator will meet to determine the course of action. The State Engineer will make final decisions whether restrictions are placed on the Consultant firm.
- 8. Engineering Consultants Section will apply and monitor any restrictions imposed by the Department.

RESTRICTIONS:

The following restrictions may be applied for contracts in process: If an overall unsatisfactory progress performance rating is received on a specific contract, the Consultant will not be allowed to submit on any future ADOT projects (as a prime or subconsultant) until such time as a satisfactory performance rating is received on that contract. The Consultant must submit a plan of action to correct the deficiency before a satisfactory performance rating will be considered or the restrictions are rescinded. If an unsatisfactory performance rating is received during the selection process for a contract for which the Consultant is competing, their proposal can be rejected.

If an unsatisfactory performance rating is received after the completion of a contract, the Consultant will not be allowed to submit a proposal for any ADOT project for a period of three months from the final evaluation by the State Engineer. If an unsatisfactory performance rating is received during the selection process for a contract for which the Consultant is competing, their proposal may be rejected.

APPEAL PROCESS:

The Consultant may appeal the overall unsatisfactory performance rating to the State Engineer through the appropriate Deputy State Engineer. After the review of the appeal, the decision of the State Engineer is **final** and no further administrative appeals will be accepted. All appeals and responses must be in writing.